

08/10/01

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File by filing original, c-i-p, continuation and divisional.

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PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only) for new nonprovisional applications under 37 CFR 1.53(b)</small>	<b>Attorney Docket No.</b> X12383N	
	<b>First Named Inventor or Application Identifier</b>	
	Hoffmann, James A., Lu, Jirong	
	<b>Express Mail Label No.</b> EM564070246US	

11017 U.S. PTO  
09/928198

08/10/01

<b>Application Elements</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, and a duplicate for fee processing)	6. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total 90 Pages] (preferred arrangement set forth below) <ul style="list-style-type: none"><li>- Descriptive title of the Invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to Microfiche Appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claims</li><li>- Abstract of the Disclosure</li></ul>	7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> Computer Readable Copy</li><li>b. <input checked="" type="checkbox"/> Paper Copy (identical to computer copy)</li><li>c. <input checked="" type="checkbox"/> Statement verifying identity of above copies</li></ul>
3. <input type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <input type="checkbox"/> ]	<b>ACCOMPANYING APPLICATION PARTS</b>
4. <input type="checkbox"/> Oath or Declaration [Total Pages <input type="checkbox"/> ]	
<input type="checkbox"/> Newly executed (original or copy)	
<input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below]	
i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	8. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
5. <input checked="" type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.	9. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney
	10. <input type="checkbox"/> English Translation Document (if applicable)
	11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations
	12. <input checked="" type="checkbox"/> Preliminary Amendment
	13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
	14. <input type="checkbox"/> Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired
	15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
	16. <input checked="" type="checkbox"/> Other: Submission of Claims 62-91 in International Application No. PCT/US99/16031; and Petition to Make Special Under 37 C.F.R. §1.102(d) - Statement Alleging Infringement

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:	
<input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional	Continuation-in-part (CIP) of prior application No: 09/744,431 filed 01/22/01 which is the National Phase Application of PCT/US99/16031 filed July 15, 1999 which claims the benefit of Provisional Applications 60/093,906 filed July 23, 1998; 60/094,611 filed July 30, 1998; 60/094,767 filed July 31, 1998; 60/098,711 filed Sept. 1, 1998; and 60/100,696 filed September 17, 1998.

18. CORRESPONDENCE ADDRESS					
Customer Number or Bar Code Label			or		Correspondence address below
Eli Lilly and Company					
Lilly Corporate Center					
Patent Division DC: 1104					
CITY	Indianapolis	STATE	Indiana	ZIP CODE	46285
COUNTRY	U.S.A.	TELEPHONE	317-277-8110	FAX	317-276-3861
SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name				Reg. Number	41,888
Signature				Date	9 August 2001
"Express Mail" mailing label number					
Date of Deposit					
EM564070246US					
Aug 10, 2001					
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231					
Printed Name			Signature		
QUEEN THOMAS			Queen Thomas		

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+

PTO/SB/17 (12/97)

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# FEE TRANSMITTAL

Note: Effective November 10, 1997.  
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT \$710.00

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 05-0840  
Deposit Account Name Eli Lilly and Company

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
109	490	207	245	Plant filing fee	
114	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$710)

### CLAIMS

Total Claims	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee from below	Fee Paid
12	-20**	0	X	18	0
Independent Claims	1	-3**	0	X	80
Multiple-Dependent Claims (first time)	0	0	X	270	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	39	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
109	78	209	39	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0)

\*\*or number previously paid, if greater; For Reissues, see above

### SUBMITTED BY

Typed or Printed Name James J. Kelley

Signature James J. Kelley

"Express Mail" mailing label number EM564070246US

Date of Deposit Aug 10, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231

Printed Name QUEEN THOMAS

Signature Queen Thomas

### Complete if Known

Application Number  
Filing Date  
First Named Inventor Hoffmann, James A  
Group Art Unit  
Examiner Name  
Attorney Docket Number X-12383N

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge-late filing fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive-unavoidable	
141	1,240	241	620	Petition to revive-unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design Issue Fee	
144	580	244	290	Plant Issue Fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt.	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$0)

### Complete (if applicable)

Reg. Number 41,888

Date 9 August 2001